

DOCKET NO. CRTW-0004



PATENT

Gp 2161

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Shawn D.  
Cartwright

Serial No.: 09/676,448

Group Art Unit: 2161

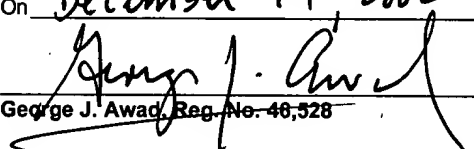
Filing Date: September 29, 2000

Examiner: Not Yet Assigned

For: SYSTEM AND METHODS FOR OBTAINING ADVANTAGES AND  
TRANSACTIONING THE SAME

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I, George J. Awad, Registration No. 46,528 certify that this correspondence is being deposited with the U.S. Postal Service as First Class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

On December 14, 2000  
  
George J. Awad, Reg. No. 46,528

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**COMMUNICATION RETURNING ORIGINAL OFFICIAL FILING RECEIPT DATED  
NOVEMBER 14, 2000 AND ORIGINAL NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION DATED NOVEMBER 14, 2000, THAT WERE  
INADVERTENTLY FORWARDED TO WOODCOCK WASHBURN KURTZ  
MACKIEWICZ & NORRIS**

This communication is being filed to forward and return the enclosed **original** Official Filing Receipt dated November 14, 2000 and **original** Notice to File Missing Parts of Nonprovisional Application dated November 14, 2000, bearing Application Serial No. 09/676,449, with Docket No. CRTW-0004. Also enclosed is a **copy** of an Official Filing Receipt dated November 24, 2000, bearing Application Serial No. 09/676,448, with Docket No. CRTW-0004.

DOCKET NO. CRTW-0004

- 2 -



PATENT

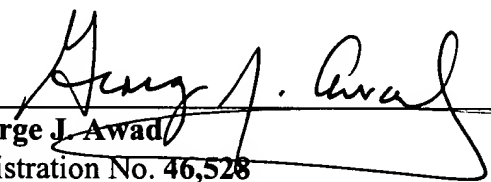
Please be advised that the enclosed **original** Official Filing Receipt dated November 14, 2000, bearing Application Serial No. 09/676,449, with Docket No. CRTW-0004, was inadvertently forwarded to Woodcock Washburn Kurtz Mackiewicz & Norris LLP. Reference is made to the as-filed specification, Patent Application Transmittal and unexecuted Declaration and Power of Attorney forwarded to the U.S. Patent Office for filing on September 29, 2000. A copy of the return postcard with the U.S. Patent's acknowledgment of receipt stamped September 29, 2000, bearing Application Serial No. 09/676,448 is also enclosed.

Also, please be advised that the information indicated on the enclosed **copy** of the Official Filing Receipt for Application Serial No. 09/676,448, with Docket No. CRTW-0004, contains the correct inventor's name, number of claims, number of drawings and title as referenced on the as-filed specification, Patent Application Transmittal and unexecuted Declaration and Power of Attorney forwarded to the U.S. Patent Office for filing on September 29, 2000.

Accordingly, Applicant respectfully requests that Official Filing Receipt dated November 14, 2000, bearing **Application Serial No. 09/676,449**, with **Docket No. CRTW-0004**, be forwarded to the correct person of record, without the use of Docket No. CRTW-0004. Applicant also respectfully requests that the enclosed documents be acknowledged and that the records be updated accordingly.

Respectfully submitted,

Dated: December 14, 2000

  
George J. Awad  
Registration No. 46,528

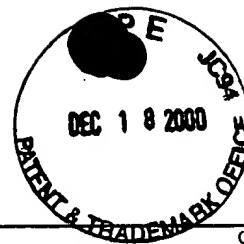
WOODCOCK WASHBURN KURTZ  
MACKIEWICZ & NORRIS LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
(215) 568-3100 - Telephone  
(215) 568-3439 - Facsimile

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/676,448	09/29/2000	2186	690	CRTW-0004	6	4	1

Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place 46th Floor  
Philadelphia, PA 19103

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\*OC000000005553896\*

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP

Date Mailed: 11/14/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Gilad Sade, Newton, MA ;

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/212,749 06/20/2000

Foreign Applications

If Required, Foreign Filing License Granted 11/14/2000

Title

Replacement of dual write cache

Preliminary Class

711

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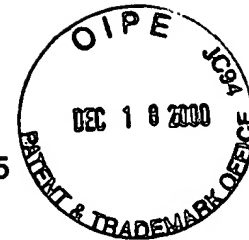
Data entry by : MILANI, JALEH

Team : OIPE

Date: 11/14/2000



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**



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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- o The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- o The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- o The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- o The docket number allows a maximum of 25 characters.
- o If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- o The title is recorded in sentence case.

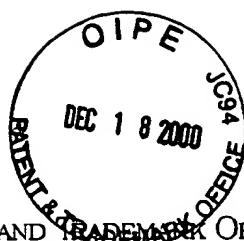
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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/676,440	09/29/2000	Gilad Sade	CRTW-0004

Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place 46th Floor  
Philadelphia, PA 19103

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## FORMALITIES LETTER



\*OC000000005553897\*

Date Mailed: 11/14/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

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Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/676,449	09/29/2000	Gilad Sade	CRTW-0004

Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place 46th Floor  
Philadelphia, PA 19103

## FORMALITIES LETTER



\*OC000000005553897\*

Date Mailed: 11/14/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

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- The balance due by applicant is \$ 130.

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*A copy of this notice MUST be returned with the reply.*

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PART 2 - COPY TO BE RETURNED WITH RESPONSE

# FEE INCREASE NOTICE

Effective OCTOBER 1, 2000, Patent Fees will be adjusted. Please note that although the fee amounts required by the enclosed Notice might reflect the fees due the date of filing, any fee paid on or after OCTOBER 1, 2000 is subject to the new schedule and must be paid in the new amount.



## EXAMPLES OF FEES BEING ADJUSTED

See [www.uspto.gov](http://www.uspto.gov) for complete FY-2001 Fee Schedule

— Indicates fees remain at FY 2000 amount

DESCRIPTION	FY 2000	FY 2001
Basic filing fee - Utility	\$690	\$710
Basic filing fee - Utility (Small Entity)	\$345	\$355
Independent claims in excess of three	\$78	\$80
Independent claims in excess of three (Small Entity)	\$39	\$40
Claims in excess of twenty	\$18	—
Claims in excess of twenty (Small Entity)	\$9	—
Multiple dependent claim	\$260	\$270
Multiple dependent claim (Small Entity)	\$130	\$135
Surcharge - Late filing fee	\$130	—
Surcharge - Late filing fee (Small Entity)	\$65	—
Design filing fee	\$310	\$320
Design filing fee (Small Entity)	\$155	\$160
Plant filing fee	\$480	\$490
Plant filing fee (Small Entity)	\$240	\$245
Reissue filing fee	\$690	\$710
Reissue filing fee (Small Entity)	\$345	\$355
Reissue independent claims	\$78	\$80
Reissue independent claims (Small Entity)	\$39	\$40
Reissue claims in excess of twenty	\$18	—
Reissue claims in excess of twenty (Small Entity)	\$9	—
Provisional application filing fee	\$150	—
Provisional application filing fee (Small Entity)	\$75	—
Surcharge - Late provisional filing fee	\$50	—
Surcharge - Late provisional filing fee (Small Entity)	\$25	—
Non-English Specification	\$130	—
Extension - First month	\$110	—
Extension - First month (Small Entity)	\$55	—
Extension - Second month	\$380	\$390
Extension - Second month (Small Entity)	\$190	\$195
Extension - Third month	\$870	\$890
Extension - Third month (Small Entity)	\$435	\$445
Extension - Fourth month	\$1,360	\$1,390
Extension - Fourth month (Small Entity)	\$680	\$695
Extension - Fifth month	\$1,850	\$1,890
Extension - Fifth month (Small Entity)	\$925	\$945
Petition	\$130	—
Processing returned checks	\$50	—

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**Paper:** Regular Utility Patent Application Transmittal Letter w/Certificate of Mailing (in duplicate) (6 pp.); Specification - Pages 1-26; Nine Sheets of Formal Drawings Figures 1-6; Petition to Make Application Special under 37 C.F.R. 1.102(d) and M.P.E.P. 708.02(VIII) (6 pp.); Information Disclosure Statement Supporting Petition to Make Application Special (3 pp.); USPTO Form PTO-1449 (2 pp.); Copies of References AA-AM; 4 Publications Cited; 9 U.S. Patent Cited; 13 Copies Submitted; **Unexecuted** Declaration and Power of Attorney (3 pp.); Check for \$1,702.00; Return Postcard all via Express Mail No. EL531 173 605US

**Applicant(s):** Shawn D. Cartwright

**Title:** SYSTEM AND METHODS FOR OBTAINING ADVANTAGES AND TRANSACTING THE SAME

**Serial No.:** Not Yet Assigned

**Filed:** September 29, 2000

**Docket No.:** CRTW-0004

**Date Sent:** September 29, 2000

EL531173605US

MDS/GJA/Hope Graves

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**Paper:** Regular Utility Patent Application Transmittal Letter w/Certificate of Mailing (in duplicate) (6 pp.); Specification - Pages 1-26; Nine Sheets of Formal Drawings Figures 1-6; Petition to Make Application Special under 37 C.F.R. 1.102(d) and M.P.E.P. 708.02(VIII) (6 pp.); Information Disclosure Statement Supporting Petition to Make Application Special (3 pp.); USPTO Form PTO-1449 (2 pp.); Copies of References AA-AM; 4 Publications Cited; 9 U.S. Patent Cited; 13 Copies Submitted; **Unexecuted** Declaration and Power of Attorney (3 pp.); Check for \$1,702.00; Return Postcard all via Express Mail No. EL531 173 605US

**Applicant(s):** Shawn D. Cartwright

**Title:** SYSTEM AND METHODS FOR OBTAINING ADVANTAGES AND TRANSACTING THE SAME

**Serial No.:** Not Yet Assigned

**Filed:** September 29, 2000

**Docket No.:** CRTW-0004

**Date Sent:** September 29, 2000

jc930 U.S. PTO

09/676448



09/29/00

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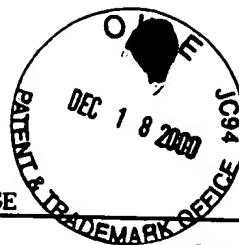
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/676,448	09/29/2000	2161	1572	CRTW-0004	9	43	9

George J. Awad  
WOODCOCK WASHBURN KURTZ  
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One Liberty Place - 46th Floor  
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Woodcock Washburn Kurtz  
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## FILING RECEIPT



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## Applicant(s)

Shawn D. Cartwright, Philadelphia, PA ;

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/212,749 06/20/2000

## Foreign Applications

If Required, Foreign Filing License Granted 11/22/2000

## Title

System and methods for obtaining advantages and transacting the same

## Preliminary Class

705

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Data entry by : LE, THANH-LAN

Team : OIPE

Date: 11/24/2000



**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**



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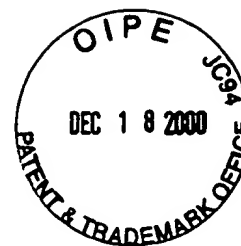
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